

**STATEMENT CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) & 1.27(c))--SMALL BUSINESS CONCERN**

Docket Number (Optional)
APXX0003

Applicant, Patentee, or Identifier: Cazalet et al.

Application or Patent No.: _____

Filed or Issued: Herewith

Title: Method and System of Managing AC Power Networks Based Upon Flow Gate Market

I hereby state that I am

- ☐ the owner of the small business concern identified below:
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN Automated Power Exchange

ADDRESS OF SMALL BUSINESS CONCERN 10455-3 Bandlely Drive, Cupertino, CA 95014

I hereby state that the above identified small business concern qualifies as a small business concern as defined in 13 CFR Part 121 for purposes of paying reduced fees to the United States Patent and Trademark Office. Questions related to size standards for a small business concern may be directed to: Small Business Administration, Size Standards Staff, 409 Third Street, SW, Washington, DC 20416.

I hereby state that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

- ☒ the specification filed herewith with title as listed above.
☐ the application identified above.
☐ the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization having any rights in the invention is listed below:

- ☐ no such person, concern, or organization exists.
☒ each such person, concern, or organization is listed below.

Separate statements are required from each named person, concern or organization having rights to the invention stating their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

EDWARD G.

NAME OF PERSON SIGNING Ed Cazalet

TITLE OF PERSON IF OTHER THAN OWNER Chief Executive Officer

ADDRESS OF PERSON SIGNING 10455-3 BANDLELY DRIVE, CUPERTINO CA 95014

SIGNATURE Edward G. Cazalet DATE 11/30/99

Applicant or Patentee: Edward G. Cazalet, Chengjun Fu, Ralph Samuelson,
John Stremel, and Tichomir Tenev

Serial No.: _____ Filing Date: Herewith

Patent No.: _____ Issued: _____

For: METHOD AND SYSTEM OF MANAGING AC POWER NETWORKS BASED UPON
FLOW-GATE MARKET TRANSACTIONS

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
37 CFR 1.9(f) and 1.27(b) - INDEPENDENT INVENTOR

As a below-named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled:

**METHOD AND SYSTEM OF MANAGING AC POWER NETWORKS BASED
UPON FLOW-GATE MARKET TRANSACTIONS**

described in:

☒ the application filed herewith

☐ application serial no. _____, filed _____

☐ patent no. _____, issued _____

I have not assigned, granted, conveyed, or licensed and am under no obligation under contract or law to assign, grant, convey, or license any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

☒ no such person, concern, or organization

☐ persons, concerns, or organizations listed below*

* NOTE: Separate verified statements are required from each named person, concern, or organization having rights to the invention averring to their status as small entities (37 CFR 1.27).

FULL NAME _____

ADDRESS _____

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

FULL NAME _____

ADDRESS _____

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Name: Edward G. Cazalet

Signature of Inventor

Date

Name: Chengjun Fu

Signature of Inventor

Date

Name: Ralph Samuelson

Signature of Inventor

Date

Name: John Stremel

Signature of Inventor

Date

Name: Tichomir Tenev

Signature of Inventor

Date

DECLARATION FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name;

I believe I am the original, first, and sole inventor (if only one name is listed below) or an original, first, and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

METHOD AND SYSTEM OF MANAGING AC POWER NETWORKS BASED UPON FLOW-GATE MARKET TRANSACTIONS

the specification of which (check one) ☒ is attached hereto, or ☐ was filed on _____ as Application Serial No. _____ and was amended on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, Section 1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, Section 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s)

Priority Claimed
Yes No

Number Country Day/Month/Year Filed

Number Country Day/Month/Year Filed

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith:

MICHAEL A. GLENN, Reg. No. 30,176
DONALD M. HENDRICKS, Reg. No. 40,355
KIRK D. WONG, REG. NO. 43,284
EARLE W. JENNINGS, Reg. No. 44,804
CHRISTOPHER PEIL, Reg. No. 45,005

SEND CORRESPONDENCE TO:

MICHAEL A. GLENN, 3475 Edison Way, Suite L Menlo Park, CA 94025

I hereby claim the benefit under Title 35, United States code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Section 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

60/163,213 11/30/99 PROVISIONAL -Pending
Application Ser. No. Filing Date Status: Patented, Pending, Abandoned

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor: EDWARD G. CAZALET

Inventor's signature Edward G. Cazale 3/31/00
Date

Residence 26340 Alexander Place, Los Altos Hills, CA 94022

Post Office Address Same

Citizenship United States

Full name of second joint inventor: CHENGJUN FU

Inventor's signature Chengjun Fu 3/30/2000
Date

Residence 1006 South DeAnza Blvd. #K204, San Jose, CA 95129

Post Office Address Same

Citizenship China

Full name of third joint inventor: RALPH SAMUELSON

Inventor's signature Ralph Samuelson March 30, 2000
Date


Residence 938 Clark Avenue. Unit 4, Mountain View, CA 94040

Post Office Address Same

Citizenship United States

Full name of fourth joint inventor: JOHN STREMEL

Inventor's signature


Dawson Drive, Santa Clara, CA 95051

3/31/2000

Date _____

Residence 368 Dawson Drive, Santa Clara, CA 95051

Post Office Address Same

Citizenship United States

Full name of fifth joint inventor:

TICHOMIR TENEV

Inventor's signature

Flavio Tene

03/30/00

Date _____

Residence 610 Cree Avenue, San Jose, CA 95123

Post Office Address Same

Citizenship Bulgaria